

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JUL 19 1999  
U.S. PATENT AND TRADEMARK OFFICE

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7/20/99

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In re Patent Application of ) Group Art Unit: 1621  
 )  
 Robert H. Grubbs et al. ) PTO Batch No. V52  
 )  
 Application No. 09/007,498 ) Examiner: NAZARIO-GONZALES, P.  
 Filed: January 15, 1998 )  
 )  
 For: HIGH METATHESIS ACTIVITY )  
 RUTHENIUM AND OSMIUM METAL )  
 CARBENE COMPLEXES ) **TRANSMITTAL OF FORMAL**  
 ) **DRAWINGS**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
ATTN: Official Draftsperson

RECEIVED  
JUL 23 1999  
Publishing Division  
05

Sir:

Pursuant to the Notice of Allowability which was mailed July 8, 1999, enclosed are two (2) sheets of formal drawings for filing in the above-referenced case.

The Commissioner is hereby authorized to charge any deficiencies or deposit any overpayment associated with this communication to Deposit Account No. 03-3975. A duplicate of this sheet is enclosed.

Respectfully submitted,

Dated: July 16, 1999

By: Christine S. Ring  
Christine S. Ring  
Reg. No. 42.106

PILLSBURY MADISON & SUTRO LLP  
1100 New York Avenue, NW  
Ninth Floor  
Washington, D.C. 20005-3918

Attorney Docket: 20072-025-4037 (CTCH-1630)



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PUBLISHING DIV. MNGR.

In re Patent Application of	)	Group Art Unit: 1621
	)	
Robert H. Grubbs et al.	)	
	)	
Application No. 09/007,498	)	Examiner: NAZARIO-GONZALES, P.
Filed: January 15, 1998	)	
	)	
For: HIGH METATHESIS ACTIVITY	)	<b>SECOND REQUEST FOR</b>
RUTHENIUM AND OSMIUM METAL	)	<b>CORRECTION OF THE OFFICIAL</b>
CARBENE COMPLEXES	)	<b>FILING RECEIPT</b>

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attention: Application Processing Division's  
Customer Correction Branch

Sir:

Attached is a copy of the corrected Official filing Receipt (Form PTO-103X) dated May 7, 1999. Applicants also enclose a copy of the Request for Correction of the Official Filing Receipt filed with the U.S. Patent and Trademark Office on April 24, 1998 which outlines the specific corrections required to be made to the first Filing Receipt that was issued. Upon receipt of the "corrected" Filing Receipt received on May 13, 1999, Applicants noticed that the corrections requested in the previous Request for Correction were not made. Please make the corrections to the Official Filing Receipt previously requested.

In addition, the "corrected" Filing Receipt indicates that this application has been given Small Entity status. In the application as filed on January 15, 1998 the Small Entity status was improperly claimed based on the status of the parent case (USSN 08/693,789). The small entity status was withdrawn during prosecution of the parent case. In Applicants Response to Notice to File Missing Parts of Application dated April 22, 1998 (copy enclosed) an attempt was made to clarify the status from small entity to large entity status and the proper fees were enclosed. Please correct the "Small Entity" status on the filing receipt by deletion.

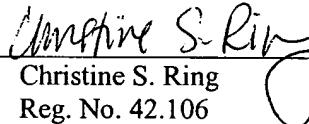
Finally, Applicants submitted for filing a Power of Attorney from Assignee and Revocation of Prior Powers to the U.S. Patent and Trademark Office on October 26, 1998 (copy also enclosed). Since this paper was filed in October of 1998, five months prior to the mailing of the recently received "corrected" Filing Receipt, Applicants request that the Filing Receipt be corrected to indicate the current agent of record for this application.

In the event it is determined that a fee pursuant to 37 C.F.R. § 1.19(h) is required in connection with this request, the Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment to Deposit Account No. 03-3975. A copy of this sheet is enclosed.

Respectfully submitted,

Dated: July 16, 1999

By: \_\_\_\_\_

  
Christine S. Ring  
Reg. No. 42.106

PILLSBURY MADISON & SUTRO LLP  
1100 New York Avenue, NW  
Ninth Floor  
Washington, D.C. 20005-3918

Attorney Docket: 20072-025-4037 (CTCH-1630)

FILING RECEIPT

CORRECTED



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/007,498	01/15/98	1621	\$439.00	CTCH1630	2	24	2

RECEIVED

W. PATRICK BENGTSSON INTELLECTUAL PROPERTY GROUP  
~~LIMBACH & LIMBACH~~ PILLSBURY MADISON & SUTRO LLP MAY 13 1999  
~~2001 FERRY BUILDING~~ 1100 NEW YORK AVENUE, NW  
~~SAN FRANCISCO CA 94111~~ WASHINGTON, D.C. 20005 LIMBACH & LIMBACH

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

ROBERT H. GRUBBS, PASADENA, CA; PETER SCHWAB, DURKHEIM,  
FED REP GERMANY; SONBINH T. NGUYEN, EVANSTON, IL.

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/001,862 08/03/95  
PROVISIONAL APPLICATION NO. 60/003,973 09/19/95

THIS APPLN IS A DIV OF 08/693,789 07/31/96

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 04/08/98 \*\* SMALL ENTITY \*\*

TITLE

HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES

PRELIMINARY CLASS: 556

PRIOR ART STATEMENT DUE: \_\_\_\_\_

FOREIGN FILING LETTER DUE: \_\_\_\_\_

FOREIGN FILING DEADLINE: \_\_\_\_\_

MONTH SUSPENSE DATE: \_\_\_\_\_

DATA ENTRY BY: HARDY, EUGENIA TEAM: 03 DATE: 05/07/99



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Grubbs, et al.

Application No. 09/007,498

Filed: January 15, 1998

For: HIGH METATHESIS ACTIVITY  
RUTHENIUM AND OSMIUM  
METAL CARBENE COMPLEXES

Group Art Unit: 1621

PTO Batch No. V52

Examiner: Nazario-GonzaleZ, P.

DEFICIENCY OWED UNDER  
37 C.F.R. § 1.28(c)Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
 OCT 1 1999  
 OFFICE OF PETITIONS  
 FOR PATENTS

Sir:

Small entity status was improperly claimed in this case when it was filed as a divisional of parent application 08/693,789 filed July 31, 1996. Although the error was partially corrected when the Response to the Notice of Missing Parts was filed, only the deficiency in the basic filing fee was paid. More particularly, the deficiencies for four additional claims and the terminal disclaimer were not remitted. As a result, pursuant to 37 C.F.R. § 1.28(c), Applicants remit the deficiency in the instant case between the amounts paid and the amount due and enclose a check in the amount of \$331.

For convenience, a table of the fees paid, the current fees, and the deficiency owed follows:

Item	Fees Paid	Fees Owed
1/15/98 - Divisional filing fee for basic application	\$395	\$790
1/15/98 - Fee for four additional claims	\$176	\$352
1/15/98 - Terminal disclaimer	\$55	\$110
4/22/98 - Surcharge for filing Missing Parts	\$130	\$130
4/22/98 - Deficiency for basic filing fee	\$395	-----
<i>Total</i>	\$1,051	\$1,382

Amount owed: \$1,382 - \$1,051 = \$331

Adjustment date: 10/01/1999 SLUANG1  
 02/13/1998 DFLOYD 00000020 09007498  
 01 FC:201 -395.00 OP  
 02 FC:203 -44.00 OP  
 Adjustment date: 10/01/1999 SLUANG1  
 08/13/1998 DFLOYD 00000002 09007498  
 01 FC:248 -55.00 OP

10/01/1999 SLUANG1 00000223 033975 09007498  
 01 FC:101 760.00 OP  
 02 FC:148 45.00 CH 65.00 OP  
 03 FC:103 72.00 CH

The Commissioner is authorized to charge any underpayment or credit any overpayment associated with this communication to Deposit Account No. 03-3975. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

Dated: September 22, 1999

By: Christine S. Ring  
Christine S. Ring  
Reg. No. 42,106

PILLSBURY MADISON & SUTRO LLP  
1100 New York Avenue, NW  
Washington, D.C. 20005-3918  
Telephone: (415) 983-1867  
Fax: (202) 822-0944

ATTY. DKT.: 20072/254037 (CTCH-1630)

FILE COPY

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SERIAL NUMBER 09/007,498	FILING DATE 01/15/98	CLASS 556	GROUP ART UNIT 1621	ATTORNEY DOCKET NO. CTCH1630
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APPLICANT

ROBERT H. GRUBBS, PASADENA, CA; PETER SCHWAB, DURKHEIM, FED REP GERMANY;  
SONBINH T. NGUYEN, EVANSTON, IL.

\*\*CONTINUING DOMESTIC DATA\*\*\*\*\*

VERIFIED THIS APPLN IS A DIV OF 08/693,789 07/31/96 PAT 5,831,108  
PROVISIONAL APPLICATION NO. 60/001,862 08/03/95  
PROVISIONAL APPLICATION NO. 60/003,973 09/19/95

\*\*371 (NAT'L STAGE) DATA\*\*\*\*\*

VERIFIED

\*\*FOREIGN APPLICATIONS\*\*\*\*\*

VERIFIED

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 04/08/98 \*\* SMALL ENTITY \*\*

Foreign Priority claimed 35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance	STATE OR COUNTRY CA	Sheets Drawing 2	TOTAL CLAIMS 24	INDEPENDENT CLAIMS 2
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ADDRESS Verified and Acknowledged Examiner's Initials _____ Initials _____	PATRICK BENGTSSON LIMBACH & LIMBACH 2001 FERRY BUILDING SAN FRANCISCO CA 94111
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TITLE HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES
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FILING FEE RECEIVED \$439	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT NO. _____ for the following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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